

12/31/01  
JC965 U.S. PTO

01-08-02

Please type a plus sign (+) inside this box [+]

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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JC965 U.S. PTO  
107038742

12/31/01

**UTILITY PATENT APPLICATION TRANSMITTAL**  
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 04860.P2691  
(maximum 12 characters)

First Named Inventor Sushma Shrikant Trivedi

Title: "METHOD AND APPARATUS FOR DATA PROCESSING"

Express Mail Label No. EL627465865US

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D. C. 20231

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2.  Applicant Claims Small Entity Status. (37 CFR 1.27)
3.  Specification (Total Pages 145)  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawings(s) (35 USC 113) (Total Sheets 101)
5.  Oath or Declaration (Total Pages 5)
  - a.  Newly Executed (Original or Copy)
  - b.  Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 18 completed)
    - i.  DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
    - c.  Unsigned.
6.  Application Data Sheet. (37 CFR 1.76)
7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8.  Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  **Assignment Papers (cover sheet & documents(s))**

10.  a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)

b. Power of Attorney

11.  English Translation Document (if applicable)

12.  a. Information Disclosure Statement (IDS)/PTO-1449

b. Copies of IDS Citations (28 cited references)

13.  **Preliminary Amendment**

14.  **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**

15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)

16.  **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**

17.  Other: Express Mail Certificate of Mailing

**18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:**

Continuation       Divisional       Continuation-in-part (CIP)  
Of Prior Application No.: \_\_\_\_\_ Examiner \_\_\_\_\_ Group Art Unit \_\_\_\_\_  
(which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_,  
which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_) (List entire chain of priority)

**Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.**  
**For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**

**18B. Statement under 37 CFR 3.73(b) for continuing application:**

The undersigned states that \_\_\_\_\_ (name of assignee) is the  
assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment  
recorded in the Patent and Trademark Office at Reel. No. \_\_\_\_\_ Frame No. \_\_\_\_\_ (or a copy of  
which is attached).

**19. Correspondence Address**

Customer Number or Bar Code Label \_\_\_\_\_  
or \_\_\_\_\_ (Insert Customer No. or Attach Bar Code Label here)

Correspondence Address Below

NAME James C. Scheller

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS 12400 Wilshire Boulevard

Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (408) 720-8300 FAX (408) 720-9397

Name (PRINT/TYPE): James C. Scheller Registration No.: 31,195

Signature: James C. Scheller Date: 12/31/2001

**REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor Sushma Shrikant Trivedi  
Title "METHOD AND APPARATUS FOR DATA PROCESSING"  
Attorney Docket No. 04860.P2691

I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

12/31/2001  
Date

  
Signature

James C. Scheller

Typed or Printed Name

31,195

Registration No.

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application upon filing.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months after the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant must notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of filing of such foreign or international application. Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).

Send to: Assistant Commissioner for Patents, Washington, D.C. 20231

100-26744-22404

## EXPRESS MAIL CERTIFICATE OF MAILING

"Express Mail" mailing label number: EL 627 465 865 US  
Date of Deposit: December 31, 2001

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231

Beverly Kehoe Shea

(Typed or printed name of person mailing paper or fee)

Beverly Kehoe Shea  
(Signature of person mailing paper or fee)

(Date signed)

December 31, 2001

Serial/Patent No.: Not yet assigned Filing/Issue Date: December 31, 2001

Client: Apple Computer, Inc.

Title: Method and Apparatus for Data Processing

BSTZ File No.: 04860.P2691

Atty/Secty Initials: JCS/KGS/lm/bks

Date Mailed: December 31, 2001

Docket Due Date: \*\*\*

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

<input type="checkbox"/> Amendment/Response ( <u>      </u> pgs.)	<input checked="" type="checkbox"/> Express Mail No.: <u>EL627465865US</u> <input checked="" type="checkbox"/> Check No. <u>47394</u>
<input type="checkbox"/> Appeal Brief ( <u>      </u> pgs.) (in triplicate)	<input type="checkbox"/> <u>      </u> Month(s) Extension of Time <input type="checkbox"/> Amt: <u>1,742.00</u>
<input checked="" type="checkbox"/> Application - Utility ( <u>185</u> pgs., with cover and abstract)	<input checked="" type="checkbox"/> Information Disclosure Statement & PTO-140 ( <u>      </u> pgs.) <input type="checkbox"/> Check No. <u>      </u>
<input type="checkbox"/> Application - Rule 1.53(b) Continuation ( <u>      </u> pgs.)	<input type="checkbox"/> Issue Fee Transmittal <input type="checkbox"/> Amt: <u>      </u>
<input type="checkbox"/> Application - Rule 1.53(b) Divisional ( <u>      </u> pgs.)	<input type="checkbox"/> Notice of Appeal <input type="checkbox"/> Petition for Extension of Time
<input type="checkbox"/> Application - Rule 1.53(b) CIP ( <u>      </u> pgs.)	<input type="checkbox"/> Petition for <u>      </u>
<input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal ( <u>      </u> pgs.)	<input checked="" type="checkbox"/> Postcard <input type="checkbox"/> Power of Attorney ( <u>      </u> pgs.)
<input type="checkbox"/> Application - Design ( <u>      </u> pgs.)	<input type="checkbox"/> Preliminary Amendment ( <u>      </u> pgs.)
<input type="checkbox"/> Application - PCT ( <u>      </u> pgs.)	<input type="checkbox"/> Reply Brief ( <u>      </u> pgs.)
<input type="checkbox"/> Application - Provisional ( <u>      </u> pgs.)	<input type="checkbox"/> Response to Notice of Missing Parts
<input type="checkbox"/> Assignment and Cover Sheet	<input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business
<input checked="" type="checkbox"/> Certificate of Mailing	<input checked="" type="checkbox"/> Transmittal Letter, in duplicate
<input checked="" type="checkbox"/> Declaration & POA ( <u>5</u> pgs.) <u>unsigned</u>	<input checked="" type="checkbox"/> Fee Transmittal, in duplicate
<input type="checkbox"/> Disclosure Docs & Orig & Copy of Inventor's Signed Letter ( <u>      </u> pgs.)	
<input checked="" type="checkbox"/> Drawings: <u>101</u> # of sheets includes <u>103</u> figures	
 <input checked="" type="checkbox"/> Other: <u>Request and Certification Under 35 U.S.C. 122(b)(3)(B)(i); copies of cited references (28); Certificate of Express Mailing showing contents of packet.</u>	

**FEE TRANSMITTAL FOR FY 2002****TOTAL AMOUNT OF PAYMENT (\$)** 1742.00**Complete if Known:**Application No. Not Yet AssignedFiling Date 12/31/01First Named Inventor Sushma Shrikant TrivediGroup Art Unit Not Yet AssignedExaminer Name Not Yet AssignedAttorney Docket No. 04860.P2691**METHOD OF PAYMENT (check one)**

1.  The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666  
Deposit Account Name \_\_\_\_\_ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:  Check  
 Money Order  
 Other

**FEE CALCULATION****1. BASIC FILING FEE**

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee Code	Fee (\$)	Fee Code (\$)	
101	740	201	<u>Utility application filing fee</u>
106	330	206	<u>Design application filing fee</u>
107	510	207	<u>Plant filing fee</u>
108	740	208	<u>Reissue filing fee</u>
114	160	214	<u>Provisional application filing fee</u>
<b>SUBTOTAL (1) \$</b>			<b><u>740.00</u></b>

**2. EXTRA CLAIM FEES**

	<u>Extra Claims</u>	<u>Fee from below</u>	<u>Fee Paid</u>
Total Claims	<u>71</u>	<u>- 20** = 51</u>	<u>X 18.00 = 918.00</u>
Independent Claims	<u>4</u>	<u>- 3** = 1</u>	<u>X 84.00 = 84.00</u>
Multiple Dependent			<u>=</u>

\*\*Or number previously paid, if greater; For Reissues, see below.

**Large Entity****Small Entity**

<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code (\$)</u>	<u>Fee Description</u>	<u>Fee Paid</u>
103	18	203	<u>Claims in excess of 20</u>	
102	84	202	<u>Independent claims in excess of 3</u>	
104	280	204	<u>Multiple dependent claim, if not paid</u>	
109	84	209	<u>**Reissue independent claims over original patent</u>	
110	18	210	<u>**Reissue claims in excess of 20 and over original patent</u>	
<b>SUBTOTAL (2) \$</b>			<b><u>1002.00</u></b>	

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee	Fee	Fee	Fee
Code	(\$)	Code	(\$)
105	130	205	65
127	50	227	25
139	130	139	130
147	2,520	147	2,520
099	8,800	099	8,800
112	920*	112	920*
113	1,840*	113	1,840*
115	110	215	55
116	400	216	200
117	920	217	460
118	1,440	218	720
128	1,960	228	980
119	320	219	160
120	320	220	160
121	280	221	140
138	1,510	138	1,510
140	110	240	55
141	1,280	241	640
142	1,280	242	640
143	460	243	230
144	620	244	310
122	130	122	130
123	50	123	50
126	180	126	180
581	40	581	40
146	740	246	370
148	110	248	55
149	740	249	370
179	740	279	370
169	900	169	900
195	300	195	300
196	300	196	300
194	130	194	130
098	130	098	130
091	1,280	091	1,280
Other fee (specify) _____			
Other fee (specify) _____			
<b>SUBTOTAL (3) \$ 0</b>			

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**

Typed or Printed Name: James C. Scheller

Signature: J. C. Scheller Date: 12/31/2001

Reg. Number: 31195 Telephone Number: (408) 720-8300